



Royal Papworth Hospital
NHS Foundation Trust

Board Assurance Framework

June 2020

Produced by
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1. Executive summary

Purpose

The Board Assurance Framework (BAF) forms a part of the overall risk management and assurance process of the Trust and allows the Board to maintain oversight of the principal risks to delivery of the Trust's strategic objectives. BAF risks are mapped to the Trust's strategic objectives and reporting is managed through the DATIX system and escalated through the relevant Trust Committee structures.

Action plans for BAF risks are reviewed on a monthly basis are captured within the Trusts' Datix reporting system. Executive Directors review open BAF risks on a monthly basis and the BAF risks are brought to Trust Committees at each meeting. The BAF tracker for June 2020 includes the long term trend for each BAF risk and is attached at Appendix A (above Appetite) and B (within Appetite).

Headlines

Twenty BAF risks have a Residual Risk Rating above Risk Appetite. All BAF risks are managed to a level that is low as is reasonably practicable, however there are risks arising from the pandemic that we are not able to avoid, and that we are having to accept and manage in way that would not be tolerated under normal circumstances such as the cancellation of all routine surgery.

BAF 2532 Pandemic Risk **reduced** to residual risk rating of 15 (5X3). The surge is coming to a close; redeployment plan is being reviewed to enable staff to return to departments. Living with COVID steering group established.

BAF 2526 PPE COVID19 has **reduced** to 10 (5x2) as the national supply of PPE has steadied and there is no current shortage of PPE.

BAF 2572 Super Surge COVID19 has also been **reduced** to a rating of 8 (4x2).

BAF 858 EPR benefits rating has **increased** to a 16 (4x4) as the no funding has been set aside for re-procurement post the end of the RPA in 2021. This could generate a recurrent cost pressure of £1million.

BAF 2148 Current Growth **increased** to 15 (3x5) due to the lack of clarity over the extent to which future funding envelopes will match the Trust's resource requirements. The agreed Clinical Strategy will see a slow return of "BAU" activity levels, alongside new services relating to C-19. This will impact on

activity and case mix. We are working to determine delivery plans with regional and STP colleagues.

Other updates

BAF 1021 Cyber breach risk expected to reduce following establishment of new backup solution.

BAF1853/1854 Turnover rates have remained stable and we continue to plan ahead for long term R&R stability as we head towards new ways of working in the light of our long term response to COVID19.

Reporting against the following BAF risks has been suspended as a part of the operational response to COVID 19: 730, 841, 843, 858, 865, 1787, 2249.

BAF 2225 FM Mobilisation and BAF 689 Pathology IMT have been closed and removed from the tracker report.

Principal Risks

The June BAF tracker report reflects the earlier discussion at Board with principal risks relating to:

1. COVID-19 pandemic and the need to sustain operational effort and resources to the COVID 19 readiness and response.
2. Workforce, and the need to focus on recruitment and retention to support flow and our ability to deliver activity
3. Failure to optimise the new facility to deliver activity plans and meet patient demand.
4. The requirement to deliver our financial plan on a sustainable basis, addressing the underlying the structural deficit and our contribution to the wider system
5. Cyber security and data loss - the need to ensure that our services are resilient to cyber attack and that residual risks to resilience are managed.

Recommendation

The Committee is requested to note the BAF report for June 2020.

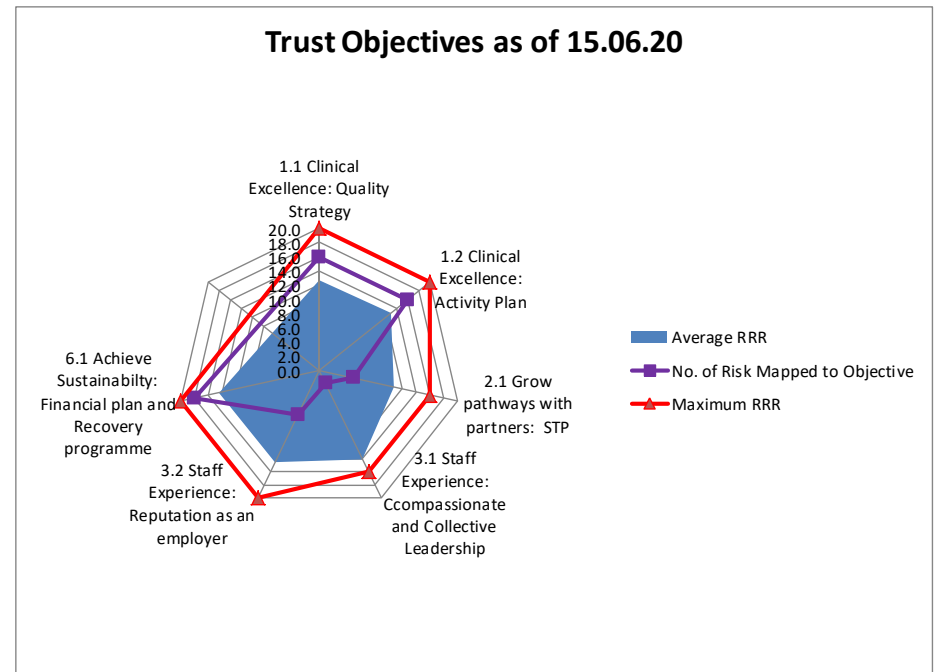
2 Risks Mapped to Strategic Objectives Analysis



Trust Objective	No. of Risk Mapped to Objective	Average RRR	Maximum RRR	Minimum RRR	Risks Opened	Risks Closed
1.1 Clinical Excellence: Quality Strategy	16	12.7	20	4		
1.2 Clinical Excellence: Activity Plan	16	12.9	20	6		
2.1 Grow pathways with partners: STP	5	10.8	16	6		
3.1 Staff Experience: Ccompassionate and Collective Leadership	2	14.0	16	12		
3.2 Staff Experience: Reputation as an employer	7	14.4	20	6		
6.1 Achieve Sustainability: Financial plan and Recovery programme	18	14.5	20	8		

Trust Objectives 2019/20 Key

- 1.1 Clinical Excellence: Implement our Quality Strategy
- 1.2 Clinical Excellence: Deliver Our Activity Plan
- 1.3 Clinical Excellence: Use Digital as a key enabler
- 2.1 Grow pathways with partners: Continue to work in partnership with the STP
- 3.1 Staff Experience: Invest in our compassionate and collective leadership
- 3.2 Staff Experience: Enhance our reputation as an employer
- 4.1 Share and Educate: Establish a Royal Papworth School
- 5.1 Research and Innovate: Ensure progression of HLRI
- 5.2 Research and Innovate: Development of plans for utilisation of HLRI
- 6.1 Achieve Sustainability: Deliver our Financial plan and Recovery programme

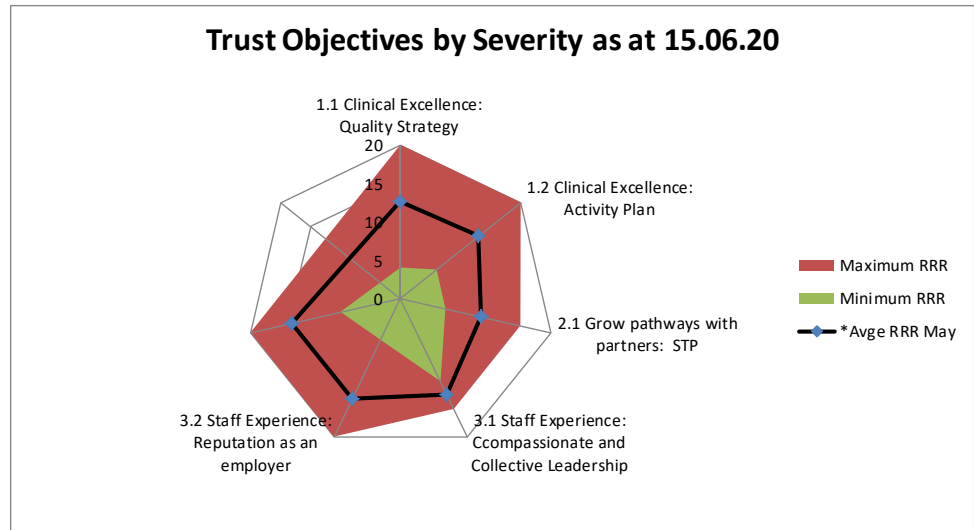


3 Strategic Objectives by severity of Residual Risk Rating



Severity - Residual Risk Rating

Trust Objective 2020/21	* Avge RRR Apr	* Avge RRR May	Maximum RRR	Minimum RRR	change in Avge RRR
1.1 Clinical Excellence: Quality Strategy	14.3	12.7	20	4	●
1.2 Clinical Excellence: Activity Plan	13.5	12.9	20	6	●
2.1 Grow pathways with partners: STP	10.0	10.8	16	6	●
3.1 Staff Experience: Ccompassionate and Collective Leadership	14.0	14.0	16	12	●
3.2 Staff Experience: Reputation as an employer	14.4	14.4	20	6	●
6.1 Achieve Sustainability: Financial plan and Recovery programme	14.2	14.5	20	8	●



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- 5.2 Research and Innovate: Development of plans for utilisation of HLRI
- 6.1 Achieve Sustainability: Deliver our Financial plan and Recovery programme

Appendix A: BAF Tracker Risks Above Risk Appetite



BAF Tracker 15/06/2020
Produced by Anna Pearman, Risk Manager

Note: Data taken from Datix will reflect the score given to the risk as close as possible to 12th of the month to enable new Exec information to be updated on Datix post meeting.

ID	Exec	Opened	Title	Mar-20	Apr-20	May-20	Status since last month	Long running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	BAF with Datix action plan	COC/PIR	Responsible Committee in addition to the Board
678	EM	11/06/2014	Failure to meet cardiac and cancer waiting targets	16	16	16	↔	12	☒	75%	Y	Finance	Performance
684	JR	11/06/2014	Failure to release staff to undertake educational activity due to workload	9	12	12	↔	8	☒	67%	Y	People Manag. & Cult.	Q&R
742	JR	30/01/2015	Safer staffing and Monitor's Agency Price cap	12	12	12	↔	6	☒	50%	Y	Safe	Q&R
841	EM	01/02/2016	Delivery of Efficiency Challenges - CIP Board approved	20	20	20	↔	12	☒	60%	Y	Effective	Performance
843	EM	01/02/2016	Delivery of Efficiency Challenges - CIP targets	20	20	20	↔	12	☒	60%	Y(F)	Effective	Performance
858	JR	01/02/2016	Electronic Patient Record System - benefits (Linked to ID1787)	12	12	16	↑	12	☒	75%	Y	Transformation	SPC
865	EM	01/02/2016	Income Growth - activity transfers	16	16	16	↔	12	☒	75%	Y(F)	Finance	Performance
873	TG	01/02/2016	Master Development and control plans - sale value	20	20	20	↔	10	☒	50%	Y	Finance	Performance
874	TG	01/02/2016	Master Development and control plans - sales dates	15	15	15	↔	10	☒	67%	Y	Finance	Performance
1021	AR	17/02/2016	Potential for cyber breach and data loss	20	20	20	↔	3	☒	15%	Y	Safe	SPC/Performance
1162	EM	07/07/2016	We will not utilise our expertise to influence local strategy for cardiology	9	9	9	↔	8	☒	89%	Y	Transformation	SPC
1787	JR	22/12/2017	Optimisation of the EPR systems	8	8	8	↔	6	☒	75%	Y	Safe	Q&R
1853	OM	27/04/2018	Turnover in excess of target and will increase as a result of the move	16	16	16	↔	8	☒	50%	Y	Safe	Performance
1854	OM	27/04/2018	Unable to recruit number of staff with the required skills/experience	20	20	20	↔	8	☒	40%	Y	Safe	Performance
1929	OM	23/07/2018	Low levels of Staff Engagement	16	16	16	↔	6	☒	38%	Y(HR)	People Manag. & Cult.	Q&R
2146	TG	29/03/2019	Current Trading Impacts - Consultant Job Plans	15	15	15	↔	10	☒	67%	Y(F)	Finance	Performance
2148	TG	29/03/2019	Current Growth	25	10	15	↑	12	☒	80%	Y(F)	Finance	Performance
2163	TG	29/03/2019	Efficiency assumptions	15	15	15	↔	12	☒	80%	Y(F)	Finance	Performance
2249	JR	07/06/2019	Hospital Optimisation	15	15	15	↔	10	☒	67%	Y(EDs)	Effective	Performance, Q&R, SPC
2572	JR	16/04/2020	Super Surge COVID19		12	8	↓	6	☒	75%	Y(EDs)	Effective	Board

Appendix B: BAF Tracker Risks Below Risk Appetite



BAF Tracker 15/06/2020														
Produced by Anna Pearman, Risk Manager														
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ID	Exec	Opened	Title	Mar-20	Apr-20	May-20	Status since last month	Long running/Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	BAF with Datix action plan	COC/PIPR	Responsible Committee in addition to the Board
675	JR	11/06/2014	Failure to stay within ceiling trajectories for all HCAI's	8	4	4	↔	6	<input checked="" type="checkbox"/>	150%	Y	Safe	Q&R
730	RH	01/04/2015	R&D strategic recognition	6	6	6	↔	8	<input checked="" type="checkbox"/>	133%	Y	Responsive	Q&R
875	TG	01/02/2016	Master Development and control plans - local planning regulations	10	10	10	↔	10	<input checked="" type="checkbox"/>	100%	Y	Transformation	Performance
2145	TG	29/03/2019	Current Trading Impacts - Planned Activity	25	10	10	↔	12	<input checked="" type="checkbox"/>	120%	Y(F)	Effective	Performance
2149	TG	29/03/2019	Capacity Assumptions	15	9	9	↔	10	<input checked="" type="checkbox"/>	111%	Y(F)	Finance	Performance
2338	AR	29/08/2019	EU exit	6	6	6	↔	16	<input checked="" type="checkbox"/>	267%	Y(EDs)	Finance	Board
2532	JR	05/03/2020	Pandemic	25	25	15	↓	25	<input checked="" type="checkbox"/>	167%	Y(EDs)	Effective	Board
2526	JR	18/03/2020	International PPE supplies	25	25	10	↓	10	<input checked="" type="checkbox"/>	100%	Y(IPC)	Safe	Board